

Riverine Stewardship Program: San Joaquin Fish Population Enhancement and Urban Streams Restoration Grants

Draft Guidelines and Proposal Solicitation Package



Department of Water Resources
Division of Integrated Regional Water Management
Ecosystem Restoration and Enhancement Branch

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1 INTRODUCTION

1.1 Background

The Riverine Stewardship Program (Program) was established in Water Code Section 7049 to implement watershed-based riverine and riparian stewardship improvements by providing technical and financial assistance in support of projects that reduce flood risk, restore and enhance fish populations and habitat, improve water quality, achieve climate change benefits, and in general to ensure resilient ecological functions within areas that include, but are not limited to, urban or urbanizing areas of the state. The Program coordinates implementation of the following sub-programs:

- **The San Joaquin Fish Population Enhancement Program (SJFPEP)** is funded by Proposition 13 (see Funding Authority below) and was established in the 2017–18 state budget, which allows the California Department of Water Resources (DWR) to fund projects through a competitive grant program or direct expenditure. The SJFPEP goals are to:
 - (1) enhance native fish populations in the San Joaquin River watershed and
 - (2) reduce their vulnerability to water diversions at all life stages within or upstream of the Delta.
- **The Urban Streams Restoration Program (USRP)** is currently funded by Propositions 84 and 68 and was established in Water Code Section 7048, which declared that urban creek protection, restoration, and enhancement are best undertaken by local agencies and organizations with assistance from the state. The USRP provides local assistance grants to fund projects that restore streams impacted by urban development to a more natural state. The USRP goals include:
 - (1) protecting, enhancing and restoring the natural, ecological value of streams;
 - (2) preventing future property damage caused by flooding and bank erosion; and
 - (3) promoting community involvement, education, and riverine stewardship.

Both programs include public engagement and outreach; however, the USRP provides additional support for disadvantaged communities, which is defined here as those with a median household income of less than 80 percent of the statewide average. The Program objectives defined in the Water Code directs program staff to connect with small communities and encourage community participation in project development and stewardship. Program staff can provide technical assistance to disadvantaged communities that need help developing a project, independent of this solicitation. The Program will use DWR's DAC Mapping Tool (<https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>) to verify proposed project service areas.

Note: See Appendix B for the Definitions of select terms and acronyms used in this document.

1.2 Purpose

These Guidelines establish and describe the process and criteria that will be used to solicit for and evaluate grant applications for SJFPEP and USRP funding. Through the public review process described below, the Program will provide opportunities to ask questions, make comments, and help shape changes to this draft document.

1.3 Goal and Objectives

The goal of this Program is to restore streams, creeks, and rivers to enhance the environment for fish, wildlife, and people. A major objective of the SJFPEP is to improve conditions for survival of various life stages of salmonids in a way that benefits the human uses of rivers and land in the San Joaquin River watershed. A major objective of the USRP is to bring people together around projects that foster community relationships while ensuring the community's interests are incorporated into the project's planning, design, and outcomes. Local community-supported projects can support local economies, renew a community's understanding of the value of streams, and make them a centerpiece for the community while expanding their contact with nature.

2 FUNDING

2.1 Funding Overview

Funding for competitive grants and direct expenditures is periodically made available through the State budget process. The Program requests funds to support the SJFPEP and USRP programs, and the Legislature appropriates funds as needed to support their goals and operations. Appropriations come with specific requirements and limitations that must be extended to the funding recipients through an agreement that is developed for each funding award. Awards may vary in the requirements and limitations imposed, dependent upon the fund source.

2.2 Funding Sources

DWR will make available up to \$47.42 million for this solicitation, which includes:

- \$38 million in Proposition 13 funds for the SJFPEP.
- \$1.84 million in Proposition 84 funds for the USRP.
- \$7.58 million in Proposition 68 funds for the USRP.

2.3 Funding Authority

SJFPEP: Proposition 13, the Costa-Machado Water Act of 2000 (Water Code, Section 79000 et seq.), authorizes DWR to fund projects that enhance native fish populations and reduce their vulnerability to water diversions at all life stages within or upstream of the Delta.

(https://leginfo.ca.gov/faces/codes_displaySection.xhtml?sectionNum=79190&lawCode=WAT)

USRP: Proposition 84, the Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Bond Act of 2006 (Pub. Resources Code, Section 75050 et seq.); and Proposition 68, the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access for all Act of 2018 (Pub. Resources Code, Section 80100 et seq.), authorize funding for the Urban Streams Restoration Program.

Chapter 3.5 (commencing with Section 11340), Part 1, Division 3, Title 2 of the Government Code does not apply to the development and adoption of these Guidelines and selection criteria. As such, the existing regulations for the Urban Streams Restoration Program found in California Code of Regulations, Title 23, Division 2, Chapter 2.4 (sections 451.1–451.6, inclusive) are hereby rescinded and replaced with these Guidelines and criteria.

(https://leginfo.ca.gov/faces/codes_displaySection.xhtml?sectionNum=75050&lawCode=PRC and https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB5)

2.4 Grant Funding Limits

USRP applications may be awarded a maximum of \$1 million per grant; however, exceptional proposals requesting funding greater than the established maximum will be considered on a case-by-case basis.

2.5 Competitive Grant

DWR funding under the Program and its sub-programs, SJFPEP and USRP, will be awarded through a competitive process. These Guidelines apply to all applications submitted during a solicitation period and such applications will be evaluated using the criteria presented in these Guidelines (Section 5.2).

DWR will not revise the grant application package requirements during any period in which grant applications are being solicited. Sample grant application documents are attached in Appendix A.

2.6 Direct Expenditures

In addition to soliciting competitive grant applications, DWR may use funds from the \$47.24 million for direct expenditures that fulfill the requirements and intent of the legislation and DWR priorities. DWR may propose direct expenditure projects in response to a request from a stakeholder, other government entity, or on its own initiative. Direct expenditure projects must address an interest of the State and the Program and may be proposed and approved at any time. Direct expenditures must meet the Program Eligibility Criteria in Section 5. There is no cap on funds available for direct expenditure, and the amount used for direct expenditure will be determined by the Program and DWR management.

2.7 Technical Assistance and Planning Grants

The USRP includes a set-aside of up to \$1 million in Proposition 68 funding for technical assistance for projects that serve disadvantaged communities. Proposition 84 also includes some funding for technical assistance. Technical assistance is defined as a range of multidisciplinary services that are provided by Program staff to support community development of a project that meets the Program's goals. For the purposes of quantifying this set-aside, funding for planning-only grants that serve disadvantaged communities will be counted towards this commitment.

Examples of such projects include, but are not limited to:

Planning and Design: project concept development; project design or design criteria including habitat design and plant selection; cost estimates; and project management.

Environmental and Scientific: watershed science, environmental planning; permit preparation; coordination with local, state, and federal regulatory agencies; protected

species surveys and monitoring; construction monitoring; environmental compliance; iterative performance assessment; data collection; and study design.

Long-term Management: land management planning.

Outreach: education and capacity building in local communities; meeting facilitation; and educational development.

2.8 Funding Priorities

The SJFPEP will give priority to projects that are consistent with selected CALFED Phase I Actions, the National Oceanic and Atmospheric Administration (NOAA) Fisheries Recovery Plan, and the voluntary agreements that may be identified as part of the Bay-Delta Water Quality Control Plan update process.

Project types may include, but are not limited to, the following:

- Spawning habitat projects that include adequate substrate, temperature, aeration, and access.
- Rearing habitat projects that provides sufficient cover, hydraulic complexity, refugia, temperature, flow, and food web structure with adequate seasonal timing and duration.
- Water temperature improvement projects that include hydraulic modification to increase reserves of cold water including changes in base flow and ground water augmentation to the channels, shading of water surface, channel modifications that could provide cool water refugia, and replacement of exotic plants with native plants.
- Habitat connectivity projects that link habitat structure to provide continuity and reduce exposure to poor quality river reaches.
- Migration enhancements through barrier removal and/or flow adjustments that enhance passage of adult or juvenile fish.
- Flow enhancements tied to life stage(s) of fish.
- Water quality improvements targeting low oxygen or pollutant concentrations.
- Restoration of natural river processes and morphology, including availability of naturalized flow, interaction of groundwater and surface water, sediment transport mechanisms, scour and deposition, and channel meander.

The USRP will commit a minimum of \$2 million to fund projects that serve disadvantaged communities. The USRP will also set aside a minimum of 35% of total distributed funding to both small and large projects, which may include funding for disadvantaged communities. The USRP defines small projects as those with a total project cost (i.e. including funding match) of less than \$1 million.

3 PROGRAM ELIGIBILITY AND REQUIREMENTS

The following are general requirements to apply for grant funding under the Program. Each application must meet the following criteria to be considered eligible for funding by each sub-program (SJFPEP and USRP). Applicants may submit a funding application for the same project to both sub-programs; however, a separate application must be submitted for each and funding will be considered on a case-by-case basis as described in these Guidelines.

3.1 Grant Eligibility

Local public agencies and qualified nonprofits are eligible to receive funding under the Program. Privately-held corporations, non-public entities, and individual landowners are not eligible. Other applicant types such as federally-recognized Tribes, Tribes listed on the Native American Heritage Commission's Tribal Consultation List, or community groups will be considered on a case-by-case basis.

SJFPEP Program:

- Limited in geographic scope to the current and historical tributaries to the San Joaquin River, including the Calaveras, Stanislaus, Tuolumne, and Merced rivers, and the San Joaquin River between its confluence with the Mokelumne River and its confluence with the Merced River.
- Requires a single applicant that is a local public agency or a nonprofit organization.
- Project types must align with the following Ecosystem Restoration Stage 1 Actions identified in the CALFED Bay-Delta Program Implementation Plan (to view the full implementation plan, refer to the Program website: <https://water.ca.gov/rspgrants>):
 - Implement large-scale restoration projects on selected rivers.
 - Acquire floodplain easements, consistent with ecosystem and flood control needs along the San Joaquin River.
 - Continue high priority actions that reduce direct mortality to fishes (e.g. screen existing unscreened or poorly screened diversions).
 - Continue gravel management (e.g., isolate gravel pits on San Joaquin River tributaries).
 - Provide incremental improvements in ecosystem values throughout the Bay-Delta system.
 - Implement projects on selected streams to provide additional upstream fishery habitat by removing or modifying barriers.

USRP Program:

- The geographic scope of the USRP is statewide.
- Requires two applicants (sponsor and a co-sponsor), including one local public agency or tribe and one non-profit organization.
- Requires identification of a minimum 20 percent funding match from non-State sources unless the grant benefits a disadvantaged community (no funding match is required for disadvantaged community applicants).
- Must include an education/outreach component that is designed to increase the public's understanding of the project's benefits to the environment and the sustainability of California's water resources. These activities may include but are not limited to: resource interpretation; science and nature; community education; and communication related to water, parks, climate change resiliency, and other outdoor pursuits.

3.2 General Grant Requirements

All applicants that are awarded funding must comply with the State's general grant requirements, which will be included in each agreement with the State. Before proceeding with the application process, applicants must consider their ability to comply with these requirements. For a complete list of the general terms and conditions and eligible and non-eligible activities and costs (see below) included in all DWR grant agreements, please refer to the Program website: <https://water.ca.gov/rspgrants>.

It is *highly recommended* that applicants review these terms to ensure acceptability before completing an application, since the terms will not be modified except under extraordinary circumstances.

3.3 Eligible Grant Activities and Costs

Eligible projects must include on-the-ground implementation; however, the USRP will also fund planning-only projects that serve disadvantaged communities. Eligible costs and activities will only be paid via reimbursement. Only direct costs and work performed within the terms of the executed grant agreement will be eligible for reimbursement. Typical activities that may be funded under this grant program are listed below:

- Reasonable costs of planning.
- Engineering and design.
- Environmental compliance and permitting.
- Preparation of environmental documentation.
- Project implementation.
- Grant administration.
- Project monitoring.

- Education and outreach.

USRP Program:

For the USRP program's funding match requirement, costs and services to be considered as funding match must fall into the categories above and must be incurred after the effective date of Proposition 68 (June 5, 2018).

3.4 Ineligible Grant Activities and Costs

The following types of activities will not be funded under this grant program. This is not an exhaustive list.

- Indirect costs, such as generic overhead or markup.
- Costs incurred outside the terms of the grant agreement.
- Purchase of equipment that is not an integral part of the project.
- Establishing a reserve fund.
- Replacement of existing funding sources for ongoing programs.
- Expenses incurred in preparation of the proposal/application.
- Payment of principal or interest of existing indebtedness or any other interest payments.

3.5 Conflict of Interest and Confidentiality

Applicants will be subject to State and federal conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the application being rejected and any subsequent Grant Agreement or contract being declared void. Other legal action may also be taken. Applicable statutes include, but are not limited to, Government Code section 1090 and Public Contract Code sections 10410 and 10411.

Applicants should note that by submitting an application, they waive their rights to the confidentiality of that application. All applications will be public documents.

3.6 Tribal Consultation

DWR recognizes the need for consultation regarding projects that affect California tribal communities. As such, applicants are required to consult with federally and non-federally recognized Tribes. Public Resources Code Section 21080.3.1 requires the CEQA lead agency to consider project effects on Tribal cultural resources and to conduct consultation with California Native American Tribes.

3.7 Labor Compliance and Prevailing Wages Provisions

All grantees are bound by the provisions of the Labor Code regarding prevailing wages and shall monitor all contracts subject to reimbursement from any agreement with the State to assure that the prevailing wage provisions of the Labor Code are being met. Current Department of Industrial Relations (DIR) requirements may be found at: <http://www.dir.ca.gov/lcp.asp> . For more information, please refer to DIR's Public Works Manual at: <http://www.dir.ca.gov/dlse/PWManualCombined.pdf> .

The following applies if the applicant is awarded Proposition 84 funds within USRP: Proposition 84 requires grantees to certify that they have a Labor Compliance Program (LCP) in place or have contracted with a third party that has been approved by the Director of DIR to operate an LCP. The LCP must be in place at the time of awarding of a contract for a public works project by the grantee.

Before submitting an application, all applicants are urged to seek legal counsel regarding prevailing wage and Labor Code compliance. See the DIR's website (<http://www.dir.ca.gov/>) for more information.

3.8 Urban and Agricultural Water Suppliers

Urban water suppliers must have a current Urban Water Management Plan that has been reviewed by DWR and found to have addressed the requirements of the Urban Water Management Planning Act (Water Code, Section 10610 et seq.).

Agricultural water suppliers must have a current Agricultural Water Management Plan that has been reviewed by DWR and found to have addressed the requirements of the Agricultural Water Management Planning Act (Water Code, Section 10800 et seq.).

Agricultural and urban water suppliers must comply with the conservation and water use efficiency measures of Water Code, Division 6, Part 2.55 (Water Code Section 10608 et seq.), Sustainable Water Use and Demand Reduction, and associated regulations.

3.9 Competitive Bidding and Procurement

A grantee's contracts with other entities for the acquisition of goods, services, and construction of public works with funds provided by the State must be in writing and shall comply with all applicable laws and regulations regarding the securing of competitive bids and undertaking competitive negotiations. If a grantee does not have a written policy to award contracts through a competitive bidding or sole source process, the Department of General Services' State Contracting Manual rules must be followed and are available at: <http://www.dgs.ca.gov/ols/Resources/StateContractManual.aspx>.

3.10 Signage or Acknowledgement of Credit

To the extent practicable, a project supported by funds from this Program will include signage and other relevant forms of acknowledgement informing the public that the project received funds from the DWR and the specific source of bond funds. Specific verbiage will be included in the final grant agreement, depending on the funding source utilized.

3.11 California Conservation Corps

To the extent feasible, a project whose application includes the use of services of the California Conservation Corps (CCC) or a certified community conservation corps will score higher in competitive review for receipt of a grant. Applicants should consult with the CCC or a certified local conservation corps as to the feasibility of using their services to implement projects.

4 GRANT APPLICATION PROCESS

4.1 Applicant Assistance Workshops

Program staff will conduct workshops to address questions and provide general assistance to applicants in preparing applications. The dates and locations of the workshops will be announced via the Program listserv (including the RSP and USRP electronic mailing lists) and on the program website at: <https://water.ca.gov/rspgrants>.

4.2 Application Package Submittal and Deadline

DWR uses the Grant Review and Tracking System (*GRanTS*), a web-based tool for managing grant proposals and related documents, and all applications must be submitted online. The system can be accessed from the following link to the homepage: <http://www.water.ca.gov/grants/>. Any interested party or organization can register with *GRanTS* at any time. If an applicant has questions or problems with *GRanTS*, please call (888) 907-4267 or email GRanTSadmin@water.ca.gov.

A complete application will contain all the items on the following list, where applicable, or include reasons for each omitted item. Please refer to Appendix A for detailed information and templates of application submittal documents.

- General Information on Applicant(s) and Project.
- Attachments:
 1. Resolutions from Lead Agencies and USRP partner agencies.
 2. Environmental Information Form.
 3. Project Scope of Work.
 4. Project Schedule.
 5. Project Budget.
 6. Permit Checklist.
 7. Documentation of Completed Urban or Agricultural Water Plans.
 8. Private Property Access Letter(s) (if applicable).
 9. Property Acquisition Cost Schedule (if applicable).
 10. Willing Seller Letter (if applicable).
 11. Land Tenure/Site Control Requirements and Property Data Sheet (if applicable).
 12. Maps and Diagrams.
 13. Photos of Project Site.
 14. MOU between Sponsor and Co-Sponsor (USRP only).
 15. Application Signature Page.

Applications must be submitted to the *GRanTS* website by:
5:00 P.M. PST June 21, 2019.

5 REVIEW CRITERIA AND AWARD PROCESS

This section describes the process for project review, evaluation, and selection. The Program's Grant Review Team (GRT), which consists of Program staff and experts from other programs as needed, will review all timely submittals.

5.1 Acceptability and Completeness

A complete application is one that is submitted to GRanTS on time and contains all required attachments or reasons for any omissions. All applications that meet the eligibility requirements and are considered complete, will be evaluated further for funding. During the evaluation period, GRT staff may deem a project ineligible if there are conflicts with existing federal, State, or local laws, rulings, ordinances, or regulations. The GRT may ask the applicant to provide clarification of existing information to better evaluate the merits of the project.

5.2 Review Criteria

The GRT will evaluate each grant application based on the following criteria which reflect and support Program, SJFPEP, and USRP priorities.

Criteria	SJFPEP	USRP
1. Project Requirements/Statutory Conditions	25	25
2. Organizational Capacity and Project Sustainability	20	20
3. Project Readiness	10	10
4. Project Characteristics and Benefits	5	5
5. Other Sources of Funds and In-Kind Contributions	5	5
6. Disadvantaged Community Benefits/Engagements	15	15
7a. Fish Population Enhancement (SJFPEP) OR	20	x
7b. Community Collaboration and Flood Control (USRP)	x	20
Total Points Possible	100	100

The GRT will evaluate applications based on their responses to the following questions (responses will be submitted directly to the GRanTS website):

Part 1. *(All applicants) Project Requirements/Statutory Conditions*

Q1. Proposal Summary - briefly describe the project in these terms: What is the problem, who/what is being adversely affected, and how will the project address the problem?

Q2. Describe the current hydrologic conditions. Include information on the type of stream (perennial, intermittent, ephemeral) if applicable, channel configuration (natural, channelized, culverted, etc.), and factors affecting stream/river function such as watershed development, land use changes, dams, or other artificial constrictions.

Q3. Is the project planned in conjunction with other local projects? If so, provide the following information:

- Identify and describe the local, State or federal management agencies involved in the project.
- Describe the proposed plans for the project and stage of the planning process.
- Discuss involvement of the appropriate federal, State or local flood agency. Have they concurred that the project is compatible with their purposes?

Q4. What will happen to the existing habitat or flood risk if this project does not occur? Will the habitat improve, decline, or be entirely lost? Over what time period? What will the flood risk be if this project is not funded? Which species will be most impacted?

Q5. Discuss the compelling need for the project and make a case for its competitiveness in this funding cycle. Include whether there is an urgent need for the project (e.g. critical habitat degradation, bank failure, water quality issue, etc.), if it is a crucial phase and continuation of previously funded work by DWR (please also list the previous project's name and the year it was funded), and if the project provides an innovative non-structural approach to restoration or flood management.

Part 2. *(All applicants) Organizational Capacity and Project Sustainability*

Q1. Describe the applicant's experience in completing this type of project or similar projects within the scheduled timeframe and within the allowable budget. Is the expertise needed for the project readily available within the applicant's organization? If not, what are the plans to acquire it? List other potential expertise needed, and the person/organizations being considered. Has the applicant previously received funding from USRP or another DWR program? If so, briefly describe the previous project and grant cycle.

Q2. How does the project utilize existing natural features and ecosystem processes to create climate change resiliency?

- Does the organization have a strategic business plan that includes climate

change components? If yes, submit a copy.

- Has the organization conducted a climate change vulnerability assessment? If yes, submit a copy.
- Does the organization have a main contract person for climate change? If yes, to what position in the organization does that person report?
- Has the organization considered the risk of climate change in its capital reserves and investments?

Q3. Will the project fully remediate problems at the site or will additional problems still exist? If additional problems will remain, briefly describe the scope and funding needs of other similar projects or phases that would fully address these problems and discuss why the proposed improvements in this application have priority.

Q4. Who owns the property at the project site? If the property is not owned by the applicant, has the landowner given permission to access and perform work on the site, and are they willing to sign a letter stating that they will give permission for the applicant to complete work on the owner's property?

Q5. What are the initial and long-term management or maintenance plans for the project site? How will you evaluate success of the project's long-term goals? How will the community remain invested in the project beyond implementation and monitoring? What entity will perform the long-term maintenance?

Part 3. *(All applicants) Project Readiness*

Q1. A Labor Compliance Program (LCP) is required for public works projects funded under Proposition 84 (USRP program). Will the sponsor or co-sponsor be able to provide evidence of an approved LCP from the Department of Industrial Relations to DWR prior to accepting funds? If not, please explain how labor compliance will be carried out for the project.

Q2. Are any of the applicants urban or agricultural water suppliers? If so, has the water supplier submitted an Urban Water Management Plan (UWMP) or Agricultural Water Management Plan (AWMP) to DWR? Has the plan been verified as complete by DWR? If not, explain and provide the anticipated date for having a complete UWMP and/or AWMP.

Q3. What is the current state of the planning process for the project? Are there any technical studies that will need to be completed prior to project implementation? Has the applicant previously received technical assistance from DWR on this project? Discuss the permits obtained and still needed for project implementation as well as any other anticipated factors that could delay the project.

Q4. Are you interested in receiving technical assistance from the Riverine Stewardship Program, if you do not receive a grant award?

Part 4. *(All applicants) Additional Project Characteristics and Benefits*

Q1. Describe any other additional benefits the project will provide outside of fish habitat restoration, flood protection, and stewardship (e.g. recreation, education and outreach, economic, aesthetic, establishing new partnerships, etc.).

Part 5. *(All applicants) Other Sources of Funds and In-Kind Contributions*

Q1. Discuss all funding sources for this project including local match, in-kind services, secured funds and any other potential but unsecured funds (such as applications to other grant programs).

Q2. What are the consequences if the project is not funded or receives partial funding from DWR? If the project was partially funded, which components are of the highest priority and can certain components be implemented as “stand alone” phases?

Part 6. *(All applicants) Disadvantaged Community (DAC) Benefits and Engagements*

Q1. How does this project address the community’s needs (e.g. open green spaces, safe transportation corridors, improving air quality, etc.)?

Q2. Describe the community engagement opportunities that informed/will inform this project’s design.

Q3. What is the median household income for the community that will be affected/served by this project? Please provide the Census Place, Census Tract, or Census Block Group. (see the Mapping Tool website for access to a DAC website map: <https://water.ca.gov/Work-With-Us/Grants-And-Loans/Mapping-Tools>).

Q4. Discuss any demographic, social, and/or Native American Tribal or other cultural issues that are important to the community and will influence design, implementation, and maintenance for the project. Summarize any previous community involvement to date within the project area. If no community involvement to date, explain how the community would be involved.

Part 7a. *(SJFPEP Applicants Only) Fish Population Enhancement*

Q1. How does this project benefit protected species of native fish in the San Joaquin River watershed? Describe how the project addresses one or more of the following restoration problem areas: spawning/rearing habitat, prey availability, predator control, water temperature, habitat connectivity, migration enhancements, flow, water quality, and natural river processes and morphology.

Q2. Describe specific riverine or riparian elements that will be established by the project, including but not limited to:

- Structures: channel, riparian corridor, floodplain, terrace, pools and riffles.
- Functions: transporting sediment, forming and/or reforming bars and pools,

flooding onto the floodplain, restoring habitat for threatened or endangered species, or re-establishing wildlife corridors.

- Dynamics: re-vegetating to provide shade and erosion control on banks or floodplain, providing food for insects, or removing exotic species.

Q3. Describe if/how the project aligns with priority actions identified in the “NOAA Fisheries Recovery Plan for Central Valley Chinook and Central Valley Steelhead Populations” and/or the “1995 Bay-Delta Water Quality Control Plan Ch. 4 - Program of Implementation” and subsequent updates, and/or “DWR’s Central Valley Flood Protection Plan - Conservation Strategy” (see the Program website for links to documents).

Q4. Describe how the project aligns with the CalFed EIS/EIR Stage 1 Actions (see the Program website for links to documents). How does this project reduce losses of any life stages of native fish to water diversions?

Part 7b. *(USRP Applicants Only) Community Collaboration and Flood Control*

Q1. Describe the community and institutional support for the project. How does the project incorporate local agency and citizens’ group participation in planning, design or implementation?

Q2. Has there been any opposition to the project? If so, explain the nature of the concerns and how they will be addressed. Describe any efforts or compromises needed to address potential conflicts between competing user groups.

Q3. How will this project resolve flood control issues in the area?

Q4. Have you consulted with the California Conservation Corps to determine if they may assist with your project?

5.3 Funding and Awards

Following evaluation and scoring of applications by the GRT, the Program manager will submit the recommendations to the Management Review Team (MRT) for further consideration.

The MRT consists of Program managers and managers and experts from other programs, departments, and agencies, as needed. The MRT shall make draft funding recommendations based on a priority ranking of reviewed project applications. The MRT will consider: 1) allocating any or all the available funds to grants for project applicants; 2) holding over the remaining available funds for allocation in subsequent funding years; or 3) allocating partial funding to one or more of the projects on the list to be funded. The MRT may modify the recommendations of the GRT relative to which projects receive funding, their priority ranking, and the dollar amounts allocated to each project and may consider other factors in the final grant awards for both programs, including, but not limited to, multiple agency collaboration, support and involvement of community groups, economic benefits, statewide significance, disadvantaged

community status, and the geographic distribution of bond funds. Written recommendations of the priority ranking and funding allocations are then sent to the Deputy Director for approval.

If requested funds for all qualified projects exceed the amount of available funds, DWR may reduce funding for selected projects based on program priorities, information provided in the application, and/or additional discussion with the applicant. Additionally, the MRT will establish a contingency list of projects from applications that were not selected for funding if funding becomes available in the future.

The MRT recommendations will be posted on the Program website (<https://water.ca.gov/rspgrants>) for a 15-day comment period after Deputy Director approval. DWR will prepare a summary of comments received during the public comment period and will post it on the Program's website. After consideration of the results of the public comments, DWR staff will make recommendations for final funding awards and request DWR Director approval. The Director may further modify the final content and priority order of the list and the amount of funding for each project. The final list of awarded projects will be posted on the Program website, and notices will be sent to all funded and non-funded project applicants.

Once final awards are approved by the Director, DWR staff will notify applicants by letter, post the award amounts on the Program website, and begin the process of developing a funding agreement with the project applicant (Grantee). The Grantee and DWR must enter into a funding agreement before eligible activities will be reimbursed.

6 GRANT ADMINISTRATION

This Section describes the process that will occur once a project has been selected for funding. This includes developing and signing a grant funding agreement.

6.1 Agreement Execution

Before DWR enters into a funding agreement, the grantee will submit a detailed work plan (based on the information provided for project evaluation) including a proposed scope of work, list of deliverables, budget, and project schedule satisfactory to DWR.

The funding agreement will not be processed and executed until a detailed final work plan and associated documents are approved by the Program manager. To assist the grantee in developing the detailed final work plan, DWR may talk to or meet with the grantee as needed. Grantees shall provide detailed cost estimates and quantities, billable hours, a revised timeframe with required completion durations, and other information as needed. Cost estimates shall include separated step funding with subtask amounts.

If a DWR-approved agreement is not executed within six months of the date the grant is awarded, the grant award may be withdrawn. It is highly recommended that applicants review DWR's general terms and conditions to ensure acceptability before completing an application since the terms will not be modified except under extraordinary circumstances. These can be found online at the following link: <https://water.ca.gov/rspgrants>.

6.2 Invoicing and Payments

The grantee will provide reimbursement invoice requests to DWR for work completed within an invoicing period. Except for the case of disadvantaged communities, DWR will retain 10 percent of each disbursement to ensure completion of the project (retention for disadvantaged communities is 5%). The retention will be paid upon submittal of all grant agreement deliverables, including the final project completion report by the grantee, and approval by DWR.

Although grant funds will be disbursed as provided in the agreement to reimburse costs incurred by the grantee, costs will not be reimbursed or paid until all the following conditions are met:

- An agreement is fully executed.
- For project activities that could affect the environment, the grantee complies with all applicable requirements of CEQA and other environmental laws, submits copies of environmental documents to DWR and receives environmental clearance from DWR Contract Manager.
- All required permits are obtained, and copies submitted to DWR.

State funds will be paid to grantees generally on a quarterly basis, but in no event

more often than monthly, at DWR's discretion, subsequent to submittal and approval of credit or reimbursement requests (invoices) and progress reports.

6.3 Reporting

Each quarter, and as a prerequisite to payment of each invoice, the grantee will be required to submit a progress report in sufficient detail to substantiate reimbursable expenses. The report will be a key item in evaluating requests for reimbursement, and as such, a reimbursement request must coincide with a report submittal. Progress reports will include the following:

- Records of expenditures.
- Description of project activities and task completions since the previous report.
- Status of progress relative to the project schedule.
- Key issues that must be resolved.
- Upcoming events, meetings, and milestones expected for the next quarter.

The first progress report shall be made at the end of the first complete calendar quarter after the date of execution. Progress reports will be submitted quarterly thereafter. DWR will monitor progress and may suspend all payments indefinitely if it appears the grantee is in breach of the agreement to such an extent that ultimate achievement of project objectives may be significantly compromised. If payments are suspended, the grantee will be given three months to correct the breach or DWR may terminate the funding agreement.

Decisions to suspend payments or terminate agreements may be appealed to the Director of DWR.

6.4 Amendments

Agreements may be amended at any time by mutual agreement of the Parties. Requests by the funding recipient for amendments must be in writing stating the amendment request and the reason for the request. Requests solely for a time extension must be submitted at least 90 days prior to the work completion date. Any other request for an amendment must be submitted at least 180 days prior to the work completion date. State shall have no obligation to agree to an amendment.

Amendments are required for the following circumstances:

- Change in schedule (e.g. time extension).
- Change in scope of work.
- Change in total budget or transfer of funds between tasks that exceeds 20 percent of DWR approved budget for either task (less than 20 percent does not require a formal amendment but does require DWR's written approval).
- Change to any of the agreement provisions.
- Change in parties to the agreement.

6.5 Project Closeout

The grantee shall submit a Project Completion Report within ninety (90) calendar days of completion of all tasks associated with the project. The report shall include a description of work done, a description of expenditures, a final schedule showing actual work completed versus planned work, copies of any final documents or reports generated or utilized during the project, a discussion of problems that occurred during the work and how the problems were resolved, and photo documentation of the entire project including before/after photos from consistent monitoring points.

DWR will notify the sponsor that the project is complete and will release any remaining retained funds when the following criteria are satisfied:

- The work is completed to the satisfaction of DWR following a final site visit.
- DWR has approved all products and deliverables required by the project and agreement as provided by the grantee.
- The grantee has provided, and DWR has approved, a Project Completion Report as described above.

6.6 Audits and Record Keeping

All grantee records and documents pertaining to the grant will be maintained by the grantee until three years after the final payment of grant funds is made. All grantee records and documents pertinent to the grant will be available for inspection and audit by DWR or other State representative during normal business hours while the project is active, and for three years after final payment of grant funds.

6.7 Riverine Stewardship Program Contact Information

RSP@water.ca.gov

A, Marc Commandatore
Program Manager
Riverine Stewardship Program
901 P Street
Sacramento, CA 95814
angelo.commandatore@water.ca.gov

Jim Long
Supervisor
Riverine Stewardship Program
901 P Street
Sacramento, CA 95814
jim.long@water.ca.gov

GRanTS Administrator: GRanTSadmin@water.ca.gov

APPENDIX A –SAMPLE DOCUMENTS AND FORMS

TEMPLATES AND RESOURCES FOR PROJECT PROPOSALS (ATTACHED)

- A1. Authorized Resolution Template
- A2. Environmental Information Form
- A3. Project Scope of Work Template
- A4. Example Project Schedule
- A5. Example Project Budget
- A6. Permit Checklist
- A7. Private Property Access Letter Template
- A8. Property Acquisition Cost Schedule (if applicable)
- A9. Willing Seller Letter Template (if applicable)
- A10. Land Tenure/Site Control Requirements and Property Data Sheet
- A11. Application Signature Page

A1. Authorized Resolution Template

RESOLUTION NO. [xxxx]

A RESOLUTION OF THE [GOVERNING BODY] OF THE [AGENCY NAME]
AUTHORIZING THE GRANT APPLICATION, ACCEPTANCE, AND EXECUTION
FOR THE [PROJECT TITLE]

WHEREAS, [Agency Name] proposes to implement [Project Title];

WHEREAS, [Agency Name] has the legal authority and is authorized to enter into a funding agreement with the State of California; and

WHEREAS, [Agency Name] intends to apply for grant funding from the California Department of Water Resources for the [Project Title];

THEREFORE, BE IT RESOLVED by the [Governing Body] of the [Agency Name] as follows:

1. That pursuant and subject to all of the terms and provisions of [for SJFPEP applicants] the Costa-Machado Water Act of 2000 (Wat. Code, Section 79000 et seq.) [for USRP applicants] Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006 (Pub. Resources Code, Section 75001 et seq.) and the California Drought, Water, Parks, Climate, Coastal Protection, and Outdoor Access For All Act of 2018 (Pub. Resources Code, Section 80000 et seq.), the [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to prepare and file an application for funding with the Department of Water Resources, and take such other actions as necessary or appropriate to obtain grant funding.
2. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to execute the funding agreement with the Department of Water Resources and any amendments thereto.
3. The [Agency Name] [Title of Authorized Representative], or designee is hereby authorized and directed to submit any required documents, invoices, and reports required to obtain grant funding.

CERTIFICATION I hereby certify that the foregoing Resolution was duly and regularly adopted by the [Governing Body Name] of the [agency name] at the meeting held on [date], motion by [member name] and seconded by [member name], motion passed by the following vote:

AYES:

NOES:

ABSTAIN:

ABSENT:

[Printed Name]
[Title], [Governing Body]

Attest:

[Secretary/Clerk]

A2. Environmental Information Form

Grantees are responsible for complying with all applicable laws and regulations for their projects, including the California Environmental Quality Act (CEQA) (Please see CEQA Process document in Appendix B2). Work that is subject to CEQA shall not proceed under this Agreement until documents that satisfy the CEQA process are received and approved by the Department of Water Resources.

Such approval is fully discretionary and shall constitute a condition precedent to any work for which it is required. Once CEQA documentation has been completed, DWR will consider the environmental documents and decide whether to continue to fund the project or to require changes, alterations or other mitigation (see CEQA Process document in Appendix B2 for details).

Grant Recipient: _____

Project Manager: _____

Phone Number: _____

Address: _____

1. Is this project exempt from CEQA compliance? Yes ☐ No ☐ (if no – skip to #2)

If “yes,” provide reasons for exemption. Cite the CEQA Article, Section and Title of the CEQA exemption, if appropriate.

CEQA statutory exemptions: Title 14. Natural Resources;
Division 6. Resources Agency; Chapter 3. Guidelines for
Implementation of CEQA; Article 18. Statutory Exemptions

CEQA categorical exemptions: Title 14. Natural Resources;
Division 6. Resources Agency; Chapter 3. Guidelines for
Implementation of CEQA; Article 19. Categorical Exemptions

Check appropriate box below:

☐ Lead Agency has already filed a Notice of Exemption (NOE) with the State Clearinghouse and/or County Clerk. (Attach copy of NOE and, if applicable, a copy of Board Resolution)

☐ Lead Agency will file a NOE with the State Clearinghouse and/or County Clerk.
Provide estimated date: _____

☐ Lead Agency will NOT file a NOE with the State Clearinghouse and/or County Clerk.

If Lead Agency chooses not to file a NOE, sufficient documentation and information must be submitted to the Project Manager, along with this form, to allow DWR to make its own CEQA findings.

2. If the project will require CEQA compliance, identify the Lead Agency.

CEQA Lead Agency: _____

3. Please check types of CEQA documents that have been or are to be prepared:

- ☐ Initial Study
- ☐ Negative Declaration / Mitigated Negative Declaration
- ☐ Environmental Impact Report

4. Please describe the status of the CEQA documents, expected date of completion, and estimated cost, if requesting DWR funds relating to CEQA compliance:

Status: _____

Date of Completion: _____

Estimated Costs: _____

5. If the CEQA document has been completed, please provide the name of the document and the State Clearinghouse number if available. Submit two copies to the Program Manager.

6. Please list all environmental permits you must obtain to complete the project:
(Attach additional pages as necessary)

Type of Permit Required

Permitting Agency

7. This form was completed by:

Print or Type Name

Phone Number

Signature

Date

- ☐ DWR received environmental documents.
- ☐ DWR made findings.

A3. Project Scope of Work Template

The scope of work will describe the project and tasks in detail and provide project deliverables, opportunities, and constraints by describing the extent of the proposed work, the methods planned to perform the work, and the potential for discovery of critical conditions requiring additional work.

The scope of work should describe each task fully and correlate tasks to the items and quantities in the budget. Tasks should be listed numerically and include subtasks where necessary. The scope of work will include a discussion of the following:

1. Introduction / Background (one paragraph maximum)
2. Description of the Proposed Project
 - a. Provide detailed description of proposed project and how the project will benefit native fish populations, and/or enhance the aesthetic, recreational, and flood control value of an urban creek or river.
 - b. Describe how this project will respond to or ameliorate identified climate change impacts, and how it will generate greenhouse gas emissions reductions and/or carbon sequestration benefits?
 - c. Provide detailed description of how the completed project will be operated and maintained.
3. Task Breakdown
 - a. Provide a detailed description of the Project tasks, subtasks, and deliverables. Tasks and subtasks shall be numerically listed consistently with the tasks and subtasks in the project schedule and budget. Each task shall have corresponding deliverables that provide evidence that the task has been completed.
4. Project Opportunities and Constraints
 - a. Discuss any relevant opportunities and constraints.

A4. Example Project Schedule

Provide a project schedule based on the project task breakdown (preferably in a Microsoft Project or Excel Gantt chart). The schedule should display the number of calendar days needed to complete the project. Explicitly state the expected start and completion date of the project in this section. Below is an example.

	2019				2020
Project Elements (Sample Only)	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st -4th Qtr
Project Administration					
Quarterly & Final Report Preparation	D	D	D	D	DDDD
Public Meetings and Notices					
Labor Compliance Program	D				
Pre-implementation: Designs, CEQA/Permitting, Bidding, etc.					
Finish final designs	D				
CEQA & Regulatory Compliance		D			D
Contractor Bidding and Selection					
Site Preparation					
Implementation/Construction					
List activities from the scope of work specific to implementation (i.e. boulder revetment, grading, planting, etc...)					
Post Construction Monitoring					
List activities from the monitoring plan specific to monitoring and maintenance (i.e. weeding, plant replacement, surveying, annual reporting, etc...)					D

A5. Example Project Budget

Briefly discuss the estimated project cost and financial resources to be used in meeting those costs. Provide a table detailing all costs. The task and subtasks shown in the budget should match the scope of work and schedule.

Where possible, quantify the components of the project (e.g. labor, materials, etc.), the lateral and linear extent of restoration work, labor, materials, and equipment requirements. Indicate tasks to be funded by USRP / SJFPEP and by other sources, as well as in-kind contributions. Below is an example.

Project Elements (SAMPLE ONLY)	Unit Price	Units	Quant.	Total Project Costs	USRP/ SJFPEP Grant	Local Contributions (Specify)	Other Funding Source(s) (Specify)
<u>Direct Project Management & Administration</u>							
Staff Time							
Incidental Charges	LS	LS	LS				
Consultants							
<u>Subtotal</u>							
<u>Planning, Design & Permitting</u>							
Staff Time							
Consultants							
Permit Costs	LS	LS	LS				
<u>Subtotal</u>							
<u>CEQA Compliance (if applicable)</u>							
Staff Time							
Consultants							
<u>Subtotal</u>							
<u>Subtotal Preconstruction Costs</u>							
<u>Implementation/Construction</u>							
Labor							
Materials							
Equipment							
or Bid Items							
<u>Subtotal</u>							
<u>Land Acquisition (if applicable)</u>							
Staff Time							
Consultants							
Appraisal, Escrow, Title Reports, etc.							
<u>Subtotal</u>							
<u>Grant Completion Date:</u>							
<u>GRAND TOTAL:</u>							
Category listing should be detailed and customized to fit the project proposal. Each funding source, whether in-kind or cash should have its own column. Specify in-kind or cash in each column heading. The unit price multiplied by the quantity equals the Total Project Costs column. The USRP / SJFPEP Grants and Other Funding Sources should also sum to the Total Project Costs column. LS = Lump Sum.							

List all sources of project funding and their current status. Below is an example.

Source	Amount	Describe Status of Funds
DWR	\$939,000.00	This amount is being requested and is contingent on award.
Local Agency	\$5,000.00	The county has reserved these funds for the project.
Third Party	\$2,500.00	The third party has reserved these funds for the project.
Total	\$946,500.00	

A6. Permit Checklist

Permitting Agency	Type of Requirement	Required?	Applied?	Acquired?	Date Anticipated
Federal Agencies:					
U.S. Army Corps of Engineers (USACE)	Clean Water Act Section 404 Permit, in consultation w/USFWS & NMFS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
U.S. Fish and Wildlife Service (USFWS), or NOAA Fisheries	Biological Opinion (Section 7 Endangered Species Act)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Agencies:					
California Department of Fish and Wildlife	Streambed Alteration Agreement (Section 1600)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
California Department of Fish and Wildlife	Incidental Take Permit, or consistency determination (CA Endangered Species Act)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
California Department of Transportation (Caltrans)	Encroachment Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
California Coastal Commission	Letter of Consistency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Regional Water Quality Control Board (RWQCB)	401 Water Quality Certification or Waste Discharge Requirement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Water Resources Control Board	Construction Activities Storm Water General Permit (RWQCB in Lake Tahoe and San Jacinto watersheds)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Central Valley Flood Protection Board	Permission to Encroach on Waterways within Designated Floodways	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Lands Commission	Permit required if using State owned property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
State Office of Historic Preservation	Cultural Resources Assessment (National Historic Preservation Act, Section 106) – required by USACE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Local and Regional Planning Agencies					
City/County	Grading Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
City/County	Environmental Health Department	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
City/County	Road use permits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
San Francisco Bay Conservation and Development Commission	Any relevant permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Tahoe Regional Planning Agency	Any relevant permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Local Resource Conservation District	Consultation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Flood Control Districts	Floodway & Hydrological Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Delta Stewardship Council	Delta Plan Consistency Determination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Others (List):					

A7. Private Property Access Letter Template (if applicable)

Date:

To: California Department of Water Resources
Division of Integrated Regional Water Management
Riverine Stewardship Program

From: Name(s) of Legal Owner (Trust, etc.)
Address of Legal Owner(s)

Re: Property Name/Parcel Number:
County:
Property Address:

To Whom It May Concern:

This letter is provided to confirm that (name of owner, trust, etc.), owner of the above referenced property, is a willing participant in the proposed restoration project. Should grant funds be awarded to the grant applicant (name of grant applicant), then (name of owner, trust, etc.), is willing to allow the applicant (with reasonable notice), to access, implement, and when applicable, operate and maintain the proposed project. Owner is aware that a temporary easement may be placed on property deed for life of the project including construction, operation for the project's useful life.

Acknowledged:

Signature of ALL parties required to sign to allow access

Date signed

A8. Property Acquisition Cost Schedule (if applicable)

Project Name:	
----------------------	--

Indicate fee or easement:			
Willing Seller? (check one)	<input type="checkbox"/> Yes	<input type="checkbox"/> No/Unsure	

ACQUISITION BUDGET				
I. Land Value	DWR Share	Other Share	Other Share Description	Total Cost
Fair Market Value				
Improvements				
Other				
Subtotal				
II. Associated Costs	DWR Share	Other Share	Other Share Description	Total Cost
Preliminary Title Rpt.				
Appraisal				
Negotiations				
Escrow				
Surveying				
Site Assessment				
Other				
Subtotal				

III. Other Costs	DWR Share	Other Share	Other Share Description	Total Cost
Administration				
Contingency				
Subtotal				
Grand Total				

ACQUISITION SCHEDULE		
Description	Timeframe	Comments
Request appraisals		
Submit appraisal and title report for State approval		
Submit instruments of conveyance, escrow instructions, and purchase agreements for State approval		
Close of escrow and complete acquisition		

Land Acquisition Cost Schedule Instructions

Complete a separate form for each escrow.

1. **Estimated fair market value of land and improvements** – Provide an estimate for each parcel. On a separate sheet, describe existing improvements and explain the proposed use or disposition.

Note: The State must approve the fair market value of the acquisition.

2. **Relocation Costs** – Attach additional pages as needed. Provide a parcel-by-parcel analysis of the extent of the relocation assistance required by the *State Relocation Act* (Gov. Code, Section 7260 et seq.).

Include at a minimum:

- a. Number of persons/businesses displaced.
 - b. Types of displaced entities (families, small retail businesses, large wholesale or manufacturing enterprises, farms, churches, hospitals, etc.).
 - c. Tenure (month-to-month rent, long-term lease or fee title) of the displaced entities.
 - d. Special problems inherent in relocating the displaced entities (lack of adequate replacement housing, large inventory of merchandise to be moved, or unique quality of the enterprise difficult to duplicate at any other location).
3. **Preliminary Costs** – Provide an estimate of the preliminary acquisition costs. Direct staff and consultant costs are limited to \$10,000 per grant.
 4. **Cost of State approval of appraisal, transaction review, etc.** – For cost estimation purposes, use \$10,000 per escrow.
 5. **Contingency** – Grantees are allowed to use 10 percent for contingency to cover unexpected eligible costs. For USRP projects with both acquisition and implementation, the contingency for the whole project may not exceed 10 percent.
 6. **Required signage** – Provide an estimated cost of required signage.
 7. **Other** – Include any additional tasks directly related to the proposed acquisition.

Acquisition timeline – Provide the estimated dates of completion for each acquisition task. (Grantee should submit evidence of progress on the acquisition, e.g. appraisal, title report, purchase documents, correspondence with owner, etc., within 6 months of grant execution.)

A9. Willing Seller Letter Template (if applicable)

Project Name

Property owner mailing info to be filled in by grantee/applicant:

Name:

Address:

City and zip:

Property Address (es):

Assessor Parcel Number (APN):

Please check the appropriate paragraph below (filled out by resident):

- ☐ Subject to terms yet to be negotiated that are mutually acceptable to seller and buyer, I would be willing to sell the property and/or grant an easement restricting the use of the property listed above to the (grantee/applicant name) for fair market value in accordance with the Federal Land Acquisition rules.
- ☐ I am not willing to sell the property listed above to the (grantee/applicant name) for fair market value in accordance with the Federal Land Acquisition rules.

If you are willing to sell, please provide the following information:

Best time to contact you: _____

Telephone #: _____ Cell: _____

Email: _____

Signature of land owner (trustee, etc.) *Date signed*

A10. Land Tenure/Site Control Requirements and Property Data Sheet

DWR recognizes that specific activities may change over time; however, uses of the project property must remain compatible with the Program in accordance with the following requirements:

Projects That Include Acquisitions

The grantee or the grantee's successor in interest shall use the real property acquired with grant funds only for the purpose for which the grant was made and make no other use or sale or other disposition of the property without DWR's written permission. A document must be recorded against the real property that defines the State's interest in the property. Exceptions granted as appropriate and at DWR's sole discretion. The grantee shall not use any portion of the real property for mitigation (e.g. to compensate for adverse changes to the environment elsewhere) or as security for any debt without DWR's written permission.

Management and Maintenance – All Projects

Projects generally should be maintained for a minimum of fifteen (15) years, although some projects and land uses may be required to exist in perpetuity. To facilitate project success, the grantee shall provide a mutually agreeable plan of long-term management and maintenance as part of their grant agreement. Specific terms and conditions appropriate to the scope of the project may be negotiated prior to grant execution.

With DWR's approval, the grantee or the grantee's successor in interest in the property may enter into an agreement with another party to maintain and operate the property in accordance with this program.

Working on Private Property

An applicant may propose a project that includes working on private properties; however, to be competitive the project must result in a larger community benefit (e.g. bank stabilization work on several private properties that contributes to downstream community flood reduction benefits) and not result in a direct, material benefit to the private land owner. If the project site is not owned by one of the project sponsors, the application package must include letter(s) from the property owner(s) stating support for the project, allowing access by the project sponsor(s) to implement the project, and willingness to manage the stream in accordance with the goals of the program (or to allow the project sponsor(s) to manage the stream for an appropriate period with DWR's concurrence to ensure success of the project). As a condition of being awarded funding, the prospective Grantee may be required to obtain easement(s) or other interests in land as deemed necessary by DWR to properly construct and/or operate and maintain the funded project.

Property Data Sheet

Owner Name	Address of Property to be Acquired	Mailing Address of Owner	Email Address	APN	Acreage	Type of Property Interest to be Acquired		
						Fee Simple	Easement ^a	Other ^b

Notes:

^a If acquiring a conservation easement, describe the proposed restrictions and reservation for the easement and the funding mechanism available to support the plan.

^b If applicable, describe other property interest to be acquired.

A11. Application Signature Page

Project Name:					
Grantee/Sponsor Name and Mailing Address:	Circle one: Local Public Agency, or Citizens' Group				
Grantee/Sponsor's Representative whose title is identified in resolution <table style="width: 100%;"> <tr> <td style="width: 50%;">Name:</td> <td style="width: 50%;">Title:</td> </tr> <tr> <td>Phone:</td> <td>Email Address:</td> </tr> </table>		Name:	Title:	Phone:	Email Address:
Name:	Title:				
Phone:	Email Address:				
I certify that the information contained in this project application, including required attachments, is complete and accurate. I certify that I have the legal authority to submit the proposal on behalf of the sponsor, and the sponsor has the legal authority to enter into a contract with the State.					
Signed: _____ Date: _____					
Grantee/Sponsor's Project Manager – Person with day to day responsibility for project (if different from authorized representative) <table style="width: 100%;"> <tr> <td style="width: 50%;">Name:</td> <td style="width: 50%;">Title:</td> </tr> <tr> <td>Phone:</td> <td>Email Address:</td> </tr> </table>		Name:	Title:	Phone:	Email Address:
Name:	Title:				
Phone:	Email Address:				
(USRP Projects Only) Co-Sponsor Name and Mailing Address	Circle one: Local Public Agency Citizens' Group				
Co-Sponsor's Representative whose title is identified in resolution <table style="width: 100%;"> <tr> <td style="width: 50%;">Name:</td> <td style="width: 50%;">Title:</td> </tr> <tr> <td>Phone:</td> <td>Email Address:</td> </tr> </table>		Name:	Title:	Phone:	Email Address:
Name:	Title:				
Phone:	Email Address:				

I certify that the information contained in this project application, including required attachments, is complete and accurate. I certify that I have the legal authority to submit the proposal on behalf of the co-sponsor, and the co-sponsor has the legal authority to enter into a contract with the State.

Signed: _____

Date: _____

Co-Sponsor's Project Manager

Name:

Title:

Phone:

Email Address:

Fiscal Agent and Mailing Address (if applicable)

Circle one:

Local Public Agency or

Non-Profit

I certify that my agency will serve as Fiscal Representative for the Sponsor (No other certification implied)

Signed: _____

Date: _____

APPENDIX B – Definitions and Acronyms

Acquisition: obtaining a fee interest or any other interest in real property from willing sellers, including easements, leases, water, water rights, or interest in water obtained for the purposes of instream flows and development rights.

Bioengineering: a technology that encourages scientists and practitioners to combine their knowledge and skills in the management of ecosystems with a common goal to maximize benefits to both the human and natural environment. It involves the use of horticultural and landscape planting techniques with living building materials, in conjunction with grading, earth moving and conventional soil stabilization structures, to produce a self-repairing, low-cost composite bank or channel. For a bioengineering project to be successful, engineers should highlight all potential benefits and ecosystem services by documenting the technical, ecological, economic, and social values.

Citizens' Group: an organization of the public which has no official governmental status, including but not limited to clubs, societies, neighborhood organizations, advisory councils, and nonprofit local community conservation corps and other nonprofit organizations.

Co-sponsor: a local agency involved in planning, flood control or waterway management or an individual or citizens' group interested in floodplain management and stream restoration which, jointly with the sponsor, supports and actively participates in a project. There may be more than one co-sponsor for a single project. If the sponsor is a local public agency, at least one co-sponsor must be a citizens' group and vice-versa.

Community access: engagement programs, technical assistance, or facilities that maximize safe and equitable physical admittance, especially for low-income communities, to natural or cultural resources, community education, or recreational amenities.

Conservation actions on private lands: projects with willing landowners that involve the adaptive flexible management or protection of natural resources in response to changing conditions and threats to habitat and wildlife. The actions may include the acquisition of conservation interests or fee interests in the land. These projects result in habitat conditions on private lands that, when managed dynamically over time, contribute to the long-term health and resiliency of vital ecosystems and enhance wildlife populations.

Direct Expenditure: a non-competitive mechanism for funding local assistance projects that meet grant program criteria.

Disadvantaged community: a community with a median household income less than 80 percent of the statewide average using U.S. Census data current at the time of an application's submission to DWR.

Eligible costs: expenses incurred by the grantee during the agreement performance period of an approved agreement, which may be reimbursed by DWR.

Eligible entities: public agencies, nonprofit organizations, citizens groups, federally recognized Indian Tribes, and state Indian Tribes listed on the Native American Heritage Commission's California Tribal Consultation List.

Endorse or Endorser: a group or individual who expresses written support for a grant application and may or may not have a commitment to actively participate.

Enhancement: the process of improving upon current conditions and may be used to describe a program that would result in a channel gaining desired features, while considering conditions for fish and wildlife. It is distinguishable from “restoration” in that it does not imply merely a return to natural conditions but may include the provision of recreation or other features that were not part of the natural channel.

Flood mitigation measures: refers to several tasks, including: the selective removal of excess sediment or debris deposited during a flood event that is likely to deflect or restrict flows and increase flooding or erosion in the future; bioengineering projects to restore streambanks damaged during flood events; and revegetation efforts to improve the fluvial geomorphology and ecological functions of streams.

Grant Review Team (GRT): consists of staff from DWR's Riverine Stewardship Program and experts from other programs, departments, and agencies, as needed

Indirect costs: expenses that are incurred for a common or joint purpose benefiting more than one objective and are not readily assignable to the funded project (i.e., expenses that are not directly related to the funded project). Examples of indirect costs include but are not limited to: central service costs; general administration of the Grantee organization; non-project-specific accounting and personnel services performed within the Grantee's organization; depreciation or use allowances on buildings and equipment; the costs of operating and maintaining non-project-specific facilities; tuition and conference fees; and, generic overhead or markup.

Interpretation: includes a visitor-serving amenity that enhances the ability to understand and appreciate the significance and value of natural, historical, and cultural resources and that may utilize educational materials in multiple languages, digital information, and the expertise of a naturalist or other skilled specialist.

Local public agency: any political subdivision of the State of California, including but not limited to any county, city, city and county, district, or local community conservation corps agency.

Local assistance: the character of expenditures made for the support of local government or other locally-administered activities.

Local Community Conservation Corps: a nonprofit public-benefit corporation formed or operating pursuant to Part 2 (commencing with Section 5110) of Division 2 of Title 1 of

the Corporations Code, or an agency operated by a city, or city and county, which is certified by the California Conservation Corps under Section 14507.5 of the Public Resources Code. These organizations may also be referred to as local urban conservation corps or local conservation corps to avoid confusion with the California Conservation Corps.

Management Review Team (MRT): consists of managers from DWR's Riverine Stewardship Program and managers and experts from other programs, departments, and agencies, as needed.

Memorandum of Authorization/Memorandum of Understanding (MOA/MOU): a formal agreement between two or more parties that is not legally binding but carries a degree of seriousness and mutual respect.

Nonprofit organization: a corporation qualified to do business in California and qualified under Section 501(c)(3) of the Internal Revenue Code.

Nonstructural: refers to measures that solve flooding or erosion problems without physically changing the dimensions of a waterway. This may include floodplain zoning, land acquisition, flood insurance, watershed management, debris removal, and floodproofing of existing structures by elevating or building a berm around them but does not include constructing storage reservoirs or lining channels.

Preservation: rehabilitation, stabilization, restoration, conservation, development, and reconstruction, or any combination of those activities.

Protection: those actions necessary to prevent harm or damage to persons, property, or natural, cultural, and historic resources, actions to improve access to public open-space areas, or actions to allow the continued use and enjoyment of property or natural, cultural, and historic resources, and includes site monitoring, acquisition, development, restoration, preservation, and interpretation.

Restore or Restoration: the improvement of physical structures or facilities and, in the case of natural systems and landscape features, includes, but is not limited to, projects for the control of erosion, storm water capture and storage or to otherwise reduce storm water pollution, the control and elimination of invasive species, the planting of native species, the removal of waste and debris, prescribed burning, fuel hazard reduction, fencing out threats to existing or restored natural resources, road elimination, improving instream, riparian, or managed wetland habitat conditions, and other plant and wildlife habitat improvement to increase the natural system value of the property or coastal or ocean resource. Restoration also includes activities described in subdivision (b) of Section 79737 of the Water Code.

Severely disadvantaged community: a community with a median household income less than 60 percent of the statewide average using U.S. Census data current at the time of an application's submission to DWR.

Sponsor: a local agency involved in planning, flood control or waterway management or

an individual or citizens' group interested in floodplain management and stream restoration. which is acting as the principal party making the grant application and which will have primary responsibility for executing the contract, submitting the invoices and receiving reimbursements.

Stable and Stabilize: refers to the state or process of bringing a channel to a condition of equilibrium in which the dimensions and gradient are appropriately matched to the watershed and the runoff of water and sediment, with the objective to have a self-maintaining system.

Stream clearance: refers to removal of garbage, junk and excessive vegetation to allow for more effective geomorphic functioning of the stream, so that there is neither excessive deposition or excessive erosion, while maintaining suitable vegetation and woody debris to provide aquatic and riparian habitat.

Technical assistance: a range of multidisciplinary services that are provided by Program staff to support and deliver program goals (see section 3.6 for more information).

Urban stream: a creek that crosses built-up residential, commercial, or industrial property, or which crosses land where development of residential, commercial, or industrial property is planned in the near future.